



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents
United States Patent and Trademark Office
Washington, D.C. 20231
www.uspto.gov

OPPEDAHL AND LARSON LLP
P O BOX 5068
DILLON CO 80435-5068

Paper No. 6

In re Application of:
James R. Birle, Jr., David K.
Dolan, Jeffrey N. Edwards, Yonathan:
Epelbaum, Frederick J. Fiddle,
Emerson P. Jones, Stuart C.
Kaperst, Todd K. Kaplan, Daniel Y.
Kerstein, Dragomir Kolev, Richard
P. Luciano, Thomas H. Patrick, Jr.,
Paul A. Pepe, Eric Steifman,
Russell L. Stein, Brennan J.
Warble, Richard J. Green, Robert A.
Rudnick and Frank R. Strong
Application No. 10/064,745
Filed: August 12, 2002
Title of Invention: CONVERTIBLE
FINANCIAL INSTRUMENTS WITH
CONTINGENT PAYMENTS

COPY MAILED

MAR 19 2003

OFFICE OF PETITIONS

DECISION GRANTING
STATUS
UNDER 37 CFR 1.47(a)

This is in response to the Petition Under 37 C.F.R. 1.47(a), filed January 30, 2003, to allow the other inventor(s) to proceed with the application on behalf of himself or herself and the nonsigning inventor.

The petition is granted.

The above-identified application and papers have been reviewed and found in compliance with 37 CFR 1.47(a). This application is hereby accorded Rule 1.47(a) status.

Petitioner has shown that the non-signing inventors, Emerson P. Jones and Daniel Y. Kerstein, refuse to sign the declaration.

As provided in Rule 1.47(a), this Office will forward notice of this application's filing to the non-signing inventors at the addresses given in the Petition. Notice of the filing of this application will also be published in the Official Gazette.

The application file is being forwarded to the Office of Initial Patent Examination for continued processing.

Telephone inquiries related to this decision may be directed to the undersigned at (703) 305-0014.

Derek L. Woods

Derek L. Woods
Petitions Attorney
Office of Petitions



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents
United States Patent and Trademark Office
Washington, D.C. 20231
www.uspto.gov

Emerson P. Jones
72 Rockwood Lane
Greenwich CT 06830

In re Application of:
James R. Birle, Jr., David K.
Dolan, Jeffrey N. Edwards, Yonathan:
Epelbaum, Frederick J. Fiddle,
Emerson P. Jones, Stuart C.
Kaperst, Todd K. Kaplan, Daniel Y.
Kerstein, Dragomir Kolev, Richard
P. Luciano, Thomas H. Patrick, Jr.,
Paul A. Pepe, Eric Steifman,
Russell L. Stein, Brennan J.
Warble, Richard J. Green, Robert A.
Rudnick and Frank R. Strong
Application No. 10/064,745
Filed: August 12, 2002
Title of Invention: CONVERTIBLE
FINANCIAL INSTRUMENTS WITH
CONTINGENT PAYMENTS

COPY MAILED

MAR 19 2003

OFFICE OF PETITIONS

LETTER

Dear Mr. Jones:

You are named as a joint inventor in the above-identified United States patent application filed under the provisions of 35 U.S.C. 116 (United States Code) and 37 CFR 1.47(a), Rules of Practice in Patent Cases. Should a patent be granted on the application you will be designated therein as a joint inventor.

As a named inventor you are entitled to inspect any paper in the file wrapper of the application, order copies of all or any part thereof (at a prepaid cost per 37 CFR 1.19) or make your position of record in the application. Alternatively, you may arrange to do any of the preceding through a registered patent attorney or agent presenting written authorization from you. If you care to join the application, counsel of record (see below) would presumably assist you. Joining in the application would entail the filing of an appropriate oath or declaration by you pursuant to 37 CFR 1.63.

Telephone inquiries regarding this communication should be directed to Petitions Attorney Derek L. Woods at (703) 305-0014. Requests for information regarding your application should be directed to the File Information Unit at (703) 308-2733. Information regarding how to pay for and order a copy of the application, or a specific paper in the application, should be directed to Certification Division at (703) 308-9726 or 1-800-972-6382 (outside the Washington D.C. area).

Derek L. Woods
Derek L. Woods
Petitions Attorney
Office of Petitions

cc: OPPEDAHL AND LARSON LLP
P O BOX 5068
DILLON CO 80435-5068



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents
United States Patent and Trademark Office
Washington, D.C. 20231
www.uspto.gov

Mr. Daniel Y. Kerstein
C/O Mr. Charles Wertman
26 Broadway, 21st Floor
New York, NY 10004

In re Application of:
James R. Birle, Jr., David K.
Dolan, Jeffrey N. Edwards, Yonathan:
Epelbaum, Frederick J. Fiddle,
Emerson P. Jones, Stuart C.
Kaperst, Todd K. Kaplan, Daniel Y.
Kerstein, Dragomir Kolev, Richard
P. Luciano, Thomas H. Patrick, Jr.,
Paul A. Pepe, Eric Steifman,
Russell L. Stein, Brennan J.
Warble, Richard J. Green, Robert A.
Rudnick and Frank R. Strong
Application No. 10/064,745
Filed: August 12, 2002
Title of Invention: CONVERTIBLE
FINANCIAL INSTRUMENTS WITH
CONTINGENT PAYMENTS

COPY MAILED

MAR 19 2003

OFFICE OF PETITIONS

LETTER

Dear Mr. Kerstein:

You are named as a joint inventor in the above-identified United States patent application filed under the provisions of 35 U.S.C. 116 (United States Code) and 37 CFR 1.47(a), Rules of Practice in Patent Cases. Should a patent be granted on the application you will be designated therein as a joint inventor.

As a named inventor you are entitled to inspect any paper in the file wrapper of the application, order copies of all or any part thereof (at a prepaid cost per 37 CFR 1.19) or make your position of record in the application. Alternatively, you may arrange to do any of the preceding through a registered patent attorney or agent presenting written authorization from you. If you care to join the application, counsel of record (see below) would presumably assist you. Joining in the application would entail the filing of an appropriate oath or declaration by you pursuant to 37 CFR 1.63.

Telephone inquiries regarding this communication should be directed to Petitions Attorney Derek L. Woods at (703) 305-0014. Requests for information regarding your application should be directed to the File Information Unit at (703) 308-2733. Information regarding how to pay for and order a copy of the application, or a specific paper in the application, should be directed to Certification Division at (703) 308-9726 or 1-800-972-6382 (outside the Washington D.C. area).

Derek L. Woods

Derek L. Woods
Petitions Attorney
Office of Petitions

cc: OPPEDAHN AND LARSON LLP
P O BOX 5068
DILLON CO 80435-5068